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Annex B

Summary of Records Surveyed

B

1. Personnel File Folders of Staff Employees:

a. The Official Personnel File Folder for each staff employee is maintained in the Office of Personnel. There is a consensus among central personnel officers that this file should not be duplicated, although some believe that the official file should be physically decentralized to the Deputy Director echelon.

b. There are some data which are found only in the official personnel file folder which have virtually no significance to line supervisors: secrecy oath, insurance forms, creditors' inquiries, evidence of attendance at required orientation courses, etc.

c. The basic records of qualifications and fitness are maintained in personnel file folders in every third echelon (DD/I and DD/S Offices, DD/P Divisions and Staffs). The common pattern of the material maintained is shown in analysis sheets 1 - 3. The sheets also show that there are variations among the contents of these files. Below the third echelon greater variation is found, but there are numerous triplications and quadruplications of the basic records.

d. Numerous fourth echelon components maintain these same data in subject files, rather than in personnel files. This facilitates destruction of the records after a short retention period.

e. Some components use their unofficial personnel file folders (usually called "soft folders" or "201 files") with the official folders in deciding upon personnel actions. Others maintain all the records they consider necessary for personnel management and use the soft folders to the exclusion of the official folders.

f. The main reasons volunteered for maintaining soft folders were:

(1) To keep the records close at hand.

(2) The contents of official folders are prescribed by the Office of Personnel; other materials must therefore be placed in soft folders.

(3) For compartmentation; some materials are never released to the Office of Personnel, but are filed by individual in the operating components. Note here that a soft folder may be serving two distinct purposes: as a personnel file in the usual sense of the

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term and as a repository for operational material, filed by individual.

h. In the Office of Central Reference, DD/I, the soft folder as a complete "working personnel file" is an established philosophy, proven by the fact that the file is transferred with the individual, if he remains in OCR.

2. Personnel File Folders of Staff Agents: The observations concerning staff employee personnel file folders are applicable to staff agent file folders, but the problems are somewhat simpler because the length of service of a staff agent is usually limited. The main policy problem is what records or sterilized summary should be placed in the employee folder when the agent is converted to employee status.

3. Personnel File Folders of Contract Personnel: Although some data were obtained on this category (sheets 10 - 12), it was deemphasized due to the essentially operational implications. Certain basic papers are maintained in the Contract Personnel Division, OP and most of the remaining records are maintained by case officers. There are specific CSI instructions concerning contract personnel records to be maintained in the operating branches.

4. Qualifications and Fitness Data:

a. The Personal History Statement with its long record of residences and references appears to be a poor qualifications record, yet it is found in the soft folders of most third echelons.

b. The Qualifications Questionnaire was designed for use in preparation of the Agency skills locator record in the Qualifications Analysis Branch, Personnel Assignment Division, OP. No provision was made for copies for operating components but most components surveyed obtained a copy for their soft folders. It is shorter and better organized as a record of qualifications than the PHS.

c. There are some other qualifications records, but little uniformity in their design or contents.

d. A profile, or summary (usually one page) of qualifications and fitness is an instrument for volume personnel administration. The DD/P area uses a form entitled "Personnel Data Sheet" which, for non-clerical employees, is usually prepared by the component's personnel officer when he prepares a Request for Personnel Action, Form SF 52. The data sheet is limited to the facts of previous assignments, experience, education and training and does not involve evaluation.

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Of the 11 third echelon components examined, 7 have some kind of profile in their soft folders (sheets 1 - 3) and 6 have lower echelons which have profiles in soft folders.

e. Fitness reports are found in soft folders in nearly every echelon.

f. Some records of training are also found in nearly every echelon.

g. Derogatory data are found in most soft folders and in the official folder. However, several components retain derogatory data in soft folders until it is substantiated, and then send copies forward for the official folder. Some offices consider such data too closely allied with covert operations to be placed in the official folder.

h. The above comments are generally applicable to commendatory data, too. But by and large the official folder contains a greater proportion of commendatory reports than of derogatory reports.

i. Security and medical information in soft folders is usually confined to information limiting an employee's availability for overseas duty.

5. Request for Personnel Action, Form SF-52: Many components retain a copy in the soft folder. Some retain a copy in a pending folder for follow-up action. When the notice of completed action (Form SF-50) is received, some offices destroy the Form 52 and others post the effective date on it and file it in a soft folder.

6. Notice of Personnel Action, Form SF-50: Of the offices surveyed in the DD/S area, only the Support Staff, OTR keeps a copy of this form. Similarly, in DD/I only the Contact Division, OO keeps one. A copy is usually retained in a DL/P soft file because it is considered poor security policy to give this paper, marked "Employee's Copy" to an employee.

7. Position Descriptions are usually filed separately because they refer to positions, not to incumbents. No copies are placed in official personnel file folders. But copies are sometimes placed in soft folders. Of the 75 files of position descriptions located in the survey, 20 were in soft files; the remaining 55 were in subject files. Twenty-nine of the 75 were descriptions in the language of the operating officials and 46 were copies of the official description.

8. Miscellaneous Information in Personnel and Subject Files: The analysis sheets indicate the presence or absence of some information in the files concerning travel, military information, cover, operational data and cables and dispatches.

a. Travel information is usually confined to copies of expense vouchers and related memoranda.

b. Military information most frequently refers to information concerning an employee's reserve status.

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9. Staffing Records

a. Card Records:

(1) The Federal Personnel Manual prescribes the 5x8 card Form OF-4b, Employee Record Card as the basic employee record for operating components. When used with the Position Identification Strip, SF-7d in a Kardex file and arranged in T/O order, it becomes a position and incumbency record. The strip names the position and the card lists the employee's name. When used together, the employee name and position title appear on the same line. When an employee card is removed, the word "VACANT" appears beside the position title.* It is designed for up-to-date maintenance by manual posting of all personnel actions, in-service training and "efficiency ratings." There is also a blank 5x8 area which can be used for additional information.

(2) Of the 11 third echelon components surveyed, 7 are maintaining an OF-4b record and 3 are maintaining a similar record on a different card. The eleventh, Office of Operations, DD/I, does not maintain personnel records at that level. Of the 26 fourth echelon components surveyed, 7 maintain OF-4b records and 4 others maintain a similar record card. Four more similar records were identified in lower echelons. In summary, 100% of those third echelon offices surveyed which maintain any personnel records keep OF-4b-type cards and 42% of the fourth echelon offices surveyed keep similar records.

b. T/O Lists:

(1) OF-4b Kardex records are in metal cabinets and supervisors must come to the cabinets to use the records. The Office of Personnel produces and distributes to third echelon offices a monthly IBM T/O list in multiple copies which is also a record of positions and incumbents. It has greater portability and flexibility for use by supervisors, but contains no record of previous assignments. It is the official control record referred to by such offices as Management Staff and the Inspector General.

(2) In every component surveyed where the question was discussed, including the Office of the Deputy Director of Personnel, this T/O record is considered inadequate for personnel administration. The primary reason advanced is that it is 20 to 30 days out of

* Civil Service Handbook S-812, Basic Personnel Records and Files System for Federal Agencies, October 1950, page 39:

"Personnel records for use at operating levels should be limited to:

1. An Employee Record Card, Optional Form 4b.
2. Position Identification Strip, Standard Form 7d, and
3. A file of position descriptions."

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date upon receipt and 50 to 60 days out of date at the end of the monthly period. A second reason is that the record is posted from a copy of the Form SF-50 whereas many third echelon offices prefer a list posted from the request form, SF-52. There are variations in this reasoning, dependent mainly upon the degree of control being exercised by career panels: if requests are almost always approved by the panels, T/O records can be posted when forms SF-52 are prepared; if requests are frequently disapproved, it is better to post to the T/O record after approval of the panel is obtained.

(3) The third reason why the official T/O list is considered inadequate is because it does not show where people are actually working. This argument is a frank admission by operating personnel that they sometimes use employees as they choose, and not as they are officially slotted.

(4) The Office of Central Reference prepares and uses its own monthly IBM T/O list. The record is posted at the time a request, Form SF-52, is prepared and it is called a "working T/O." Fourth echelons receive copies of this working T/O, only. A part of the new personnel records plan of FE Division is also the preparation of a monthly working T/O list with IBM equipment. Other third echelon offices preparing working T/O lists are OBI, OCI, STATSPEC [redacted] and FDD.

The Office of Personnel Career Management Officer maintains two staffing records by hand which serve as a working T/O. They are posted from approved forms SF-52. The Office of Logistics maintains a typewritten T/O list of foreign field positions.

c. Other Lists: Incomplete information was obtained concerning vacancy lists, lists of overseas employees scheduled to return in a few months and the In-casual List of the central personnel office. This monthly report lists each returnee reporting to the Central Processing Branch, OP and continues to list him until a Form SF-52 is prepared authenticating his new assignment. The other lists were considered reports, rather than basic records.

10. Pseudo/Crypto Files: This survey was limited to the identification of pseudonym and cryptonym cross-reference card files. Card files for supplying (and limiting the supply of) information over the telephone concerning employees in semi-covert operations were also identified.

11. Training Records: Individual reports and evaluations of courses completed are usually placed in a soft folder. Sometimes this is the same folder containing personnel papers and frequently it is a separate folder maintained by the component's training officer. In the Office of Personnel, such records are placed in the official personnel file folders.

Many offices also post training records to an individual card record. This may be the Form OF-4b, a blank card, or a card form especially

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designed for a training record. Several such forms were identified.

Some offices maintain training records in a book, or binder.

The Office of Research and Reports posts training data to a 5x8 skills locator card. (See section 13 below).

12. Training Schedules: The development of career plans and the establishment of training officers have resulted in the determination of what employees should take what courses in the next few years. To put these plans into effect it seems necessary to maintain some kind of training schedule: a record of courses and a list of employees scheduled to take each course. The presence of such a record indicates positive planning for training. Most third echelons surveyed maintain such a record.

The Office of Logistics has a simple procedure for this operation. When a supervisor recommends specific training for an employee on his fitness report, the Administrative Staff posts the employee's name to a card headed with the name of the course. Each time an announcement is received that the course is to be given, the training officer removes the course card and, with the approval of the applicable supervisors, determines which employees will take the course. When they have completed the course, their names are crossed off the course card and the information is posted to their training card.

13. Skills Locator Record: About four years ago the Office of Personnel obtained Qualifications Questionnaires from all employees and prepared an IBM record of qualifications and training. As there are numerous records of qualifications and training in the Agency, this record is referred to, in this paper, as a skills locator record. Its purpose is to locate, by mechanical searching, employees of special skills and qualifications. It is used continually by personnel placement officers, particularly for DD/P components.

New employees are included, today, from the data on the revised Personal History Statement.

Applicants possessing pertinent qualifications are also included in this record.

Although the basic plan for this centralized skills locator record has included keeping it up to date, this part of the program has never been put into effect.* Thus, the record of in-service training and assignments is four year's out of date (for those who have four or more years of service).

Three third echelon offices maintain skills locator records: Office of Research and Reports, Western Hemisphere Division and Foreign Intelligence Staff. The record in ORR is on a 5x8 card form of their own

* A follow-up qualifications questionnaire is now in process.

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design and a new key-sort card is now being designed. This record was set up because ORR found the record of the Office of Personnel inadequate and inaccurate. The ORR record is maintained in the administrative staff. All reports of completed training and assignments pass through this office and are posted to the record.

A case officer in WH maintains a 5x8 card file on staff agents for use in locating agents with specific skills, such as lock-picking, for example. This, of course, is not a duplication of the central personnel office record.

FI Staff maintains a binder called a skills locator file which lists subjects such as legal travel and stay-behind and lists names, grades and location of personnel qualified in the subjects. It covers staff employees and staff agents.

14. Individual Career Plans: Five of the eleven third echelon offices surveyed have at least some career plans on file. In a sixth, the Office of Operations, which does not maintain personnel records at the office level, plans were maintained in one of its three divisions [redacted] STATSPEC

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